

2877

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Robert K. Rowe et al.

Serial No.: 09/832,631

Examiner: Unknown

Filed: April 11, 2001

Group Art Unit: 2877

For: ENCODED VARIABLE FILTER SPECTROMETER

Docket No.: 1023.1123101


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**TRANSMITTAL SHEET**
 Assistant Commissioner for Patents  
 Washington, D.C. 20231

Sir:

**CERTIFICATE UNDER 37 C.F.R. 1.8:** I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231, on this 10th day of October, 2001.

By

A handwritten signature in black ink, appearing to read "David M. Crompton".

David M. Crompton

We are transmitting herewith the attached:

☐ Amendment☐ No additional fee required☐ The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X9=	\$	X18=	\$
INDEPENDENT CLAIMS	-	=		X40=	\$	X80=	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+135=	\$	+270=	\$
TOTAL				\$		\$	

- [ ] A check in the amount of \$\_\_\_\_\_ is enclosed.
- [ ] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [ XX ] Other: INFORMATION DISCLOSURE STATEMENT, FORM PTO-1449 AND CITED REFERENCES.
- [XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By: \_\_\_\_\_

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Robert K. Rowe et al.

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OCT 17 2001  
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#5  
IDS  
J. McCullough  
12/12/01

**INFORMATION DISCLOSURE STATEMENT**

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By

David M. Crompton

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

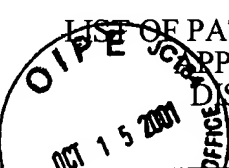
Respectfully submitted,

Robert K. Rowe et al.

By their attorney,

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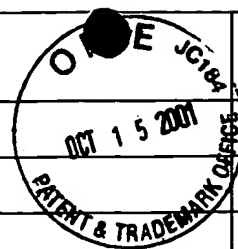
Dated: 10/10/01

<b>FORM PTO-1449</b>		Atty. Docket No.: 1023.1123101	Serial No.: 09/832,631
 <p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p>		Applicant: Robert K. Rowe et al.	
		Filing Date	Group Art:
		April 11, 2001	<del>2877</del> 2872

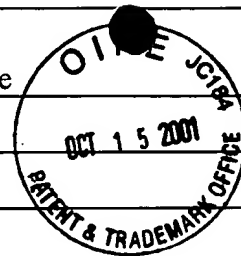
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AC	CNC 4,142,797	03/06/1979	Astheimer	
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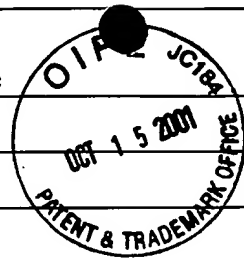
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FP <i>CNC</i>	09/832,586		Johnson	04/11/2001

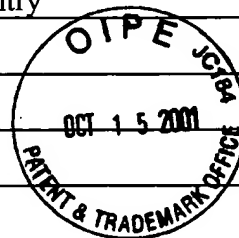


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	Document No.	Date	Country	Translation Yes No
FQ <i>CNC</i>	EP 0 317 121 B1	05/24/1999	EPO	
FR <i>CNC</i>	EP 0 426 358 B1	05/08/1991	EPO	
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GC <i>CNC</i>	EP 0 869 348 A2	10/07/1998	EPO	



		Document No.	Date	Country	Translation Yes No
GD	onc	EP 0 897 691 A2 /	02/24/1999	EPO	
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GO	onc	WO 97/28438	08/07/1997	PCT	
GP	onc	WO 98/01071	01/15/1998	PCT	
GQ	onc	WO 98/37805	09/03/1998	PCT	
GR	onc	WO 98/40723	09/17/1998	PCT	
GS	onc	WO 99/09395	02/25/1999	PCT	
GT	onc	WO 99/37203	07/29/1999	PCT	
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HC	onc	Blank, T.B. et al., "Transfer of Near-Infrared Multivariate Calibrations Without Standards," <u>Anal. Chem.</u> , Vol. 68 (1996) p. 2987.
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IN	CNC	Robinson, M. Ries et al., "Noninvasive Glucose Monitoring in Diabetic Patients: A Preliminary Evaluation," <u>Clinical Chemistry</u> , Vol. 38, No. 9 (1992) pp. 1618-1622.
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